

Good morning and welcome to today's Emergency Solutions Grants Learning Opportunity. Today we'll be talking about annual reporting.



Speakers

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I'm Naomi Cantu, Coordinator for Homelessness Programs and Policy. Joining us today is Lindsay Marsh, Homeless Programs Performance Specialist with the HOME and Homeless Programs Division. If you need program assistance, please email esg@tdhca.state.tx.us, which is monitored by several staff members so we can get back to you in a timely fashion. In addition, please ask questions during the webinar in the GoToWebinar control panel.



ESG Learning Opportunity Overview

- ❖ Focus on different ESG-related topics each month
- ❖ Occurs 1st Wednesday of each month at 10:00 am
- ❖ ESG Learning Opportunities recorded and posted online
- ❖ <http://www.tdhca.state.tx.us/home-division/esgp/video-library.htm>

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TDHCA staff introduced ESG Learning Opportunities in October 2015. The format of the learning opportunities is to provide a platform for TDHCA staff and guest speakers to provide technical assistance and may be expanded to facilitate peer-to-peer learning. The learning opportunities occur on the 1st Wednesday of each month at 10:00am.



Webinar Objective

- ❖ Provide guidance on requirements of HUD annual reporting:
 - ❖ End of year report responsibility for TDHCA
 - ❖ ESG Subrecipients reporting to TDHCA
 - ❖ Time period for reporting
 - ❖ Emergency Transfer Plan information
 - ❖ Section 3 Reporting
 - ❖ .csv export from the Homeless Management Information System (HMIS) or HMIS-comparable database

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The purpose of this webinar is to provide guidance on annual reporting requirements. We'll be covering the end of year reporting responsibility for TDHCA in a report often called the Consolidated Annual Performance Evaluation Report, also known as the CAPER. We will cover which ESG Subrecipients are required to submit annual reporting information to TDHCA, what the time period for the reporting is, Emergency Transfer Plan reporting, Section 3 reporting, and more information about the.csv export from the Homeless Management Information System (HMIS) databases (or HMIS-comparable databases if subrecipient is a victim service providers) needed for reporting.



What is Annual Reporting for TDHCA?

- ❖ Required by the US Department of Housing and Urban Development's (HUD):
 - ❖ Called Performance Evaluation Report (PER) or Consolidated Annual Performance Evaluation Report (CAPER)
 - ❖ Submitted by TDHCA to HUD

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The CAPER can be called two names: Performance Evaluation Report or Consolidated Annual Performance and Evaluation Report, or CAPER. ESG comes to Texas with three other programs from the US Department of Housing and Urban Affairs or HUD. These are the HOME Investment Partnerships program, Community Development Block Grant Program, and Housing Opportunities for Persons with AIDS/HIV Program. The CAPER reports on all these programs.



Annual Reporting Requirements for TDHCA

- ❖ CAPER due 90 days after the end of the program year from TDHCA to HUD
 - ESG Program Year is February 1 – January 31
 - Covers multiple ESG contract periods
- ❖ Think of the this year's annual reporting from February 1, 2017 – January 31, 2018
 - Don't think in contract periods

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The CAPER is due to HUD 90 days after the end of the program year. Our program year, which has been set by HUD, is February 1 to January 31. This covers multiple ESG contract periods. Think of this year's annual reporting that we'll be requesting from you as February 1, 2017 to January 31, 2018. Don't think in terms of contract periods.



Why are Subrecipients asked for reporting now?

- ❖ 2015 and previous CAPERs only relied on monthly reports
 - Monthly and final reports in Community Affairs Contract System were used to create CAPER
- ❖ Starting 2016 CAPER required .csv files
 - .csv created by Subrecipients
 - reports from HMIS or HMIS-comparable database
- ❖ .csv exports for:
 - ❖ eCart in 2016 and 2017
 - ❖ Sage HMIS Reporting Repository in 2018

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HUD always required annual reporting, but TDHCA has not always asked for annual reporting from its ESG Subrecipients. For the 2015 CAPER and before, TDHCA pulled all the CAPER information from the ESG monthly performance and expenditure reports. We still pull a majority of the information from the monthly reports. So, the CAPER is not new. However, starting with the 2016 CAPER, HUD had requested .csv exports from HMIS to be created by ESG subrecipients. The .csv exports were for a reporting system called “eCart” for the last two years, but this year the .csv files are for a reporting system called Sage HMIS Reporting Repository, or Sage for short.

We're 2016 ESG Subrecipients – Why us?

❖ 2016 ESG Subrecipient contracts overlap with
CAPER

2016 Contract

• 9/1/2017 8/31/2017

CAPER

• 2/1/2017 1/31/2018

2016 ESG contract annual reporting

• 2/1/2017 8/31/2017

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2016 ESG Subrecipients already reported last year around this time for the CAPER, but this year's CAPER also includes some of your contract period. 2016 ESG contracts are September 1, 2016 – August 31, 2017 (or up to December 31, 2017 if extended). This year's CAPER is February 1, 2017 – January 31, 2018. The overlap is February 1, 2017 – August 31, 2017 (or up to December 31, 2017, if the contract was extended).

We're 2017 ESG Subrecipients – Why us?

❖ 2017 ESG Subrecipient contracts overlap with
2018 CAPER date:

2017 ESG Contract

• 11/1/2017 10/31/2018

CAPER

• 2/1/2017 1/31/2018

2017 ESG contract annual reporting

• 11/1/2017 1/31/2018

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The 2017 ESG contracts may have only recently started, but they still have a reporting requirement around this time yearly. 2017 ESG contracts are from November 1, 2017 – October 31, 2018. CAPER dates are February 1, 2017 – January 31, 2018. The overlap for annual reporting is November 1, 2017 – January 31, 2018



Contract System Report Status

- ❖ Majority of CAPER measurements are from monthly performance and expenditure reports, for example:
 - Individuals/Households served
 - Individuals/Households outcomes
 - Race/Ethnicity
 - Other resources and match
- ❖ No action is needed from ESG Subrecipients for most number-based reporting

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A majority of the CAPER measurements are from the performance and expenditure reports submitted monthly during your contract period in the Community Affairs Contract System. For example, we pull the information from your monthly and final reports for individuals and households served, outcomes, and race and ethnicity of your program participants, and we compile other financial resources and match from these reports. For most of the reporting in the CAPER, ESG Subrecipients do not need to take any action.



Contract System Report Status (con't)

- ❖ The ESG contracts require:
 - Monthly performance and expenditure reports
 - Final performance and expenditure reports
- ❖ Monthly and final reports are submitted in the Community Affairs Contract System
- ❖ **For 2016 ESG Subrecipients:**
 - **Priority is to submit final reports**
- ❖ **For 2017 ESG Subrecipients:**
 - **Priority is to get caught up to January 31, 2018 reporting**

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All ESG contracts require monthly reports, which all our Subrecipients submit to get reimbursed. We also require a final performance and expenditure report to close out the contract, which is due 45 days after the contract period but can be submitted earlier. The final reports are added to the Community Affairs Contract System just like the monthly reports. The final performance and expenditure report is your chance to reconcile any of the contract period's reports with the adjustment column. However, most final reports are submitted with all zeros in each column. All 2016 ESG Subrecipients should make sure they submit their final reports. For 2017 ESG Subrecipients, if you are behind on your reports, we need to make reporting up until January 31, 2018 a priority, since these will go into this year's CAPER.



Narrative CAPER

- ❖ Collected information during 2017 ESG Application Process
 - No survey this year
 - Questions in Application: How will the Lead Applicant and Partners:
 - ❖ Reach out to sheltered and unsheltered homeless persons?
 - ❖ Assess the emergency shelter and transitional housing needs of persons experiencing homelessness?
 - ❖ Help persons or households make the transition to permanent housing and independent living?

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Now we're moving on to the narrative questions. HUD asks TDHCA six questions having to do with Outreach and Assessment, Avoidance, Transition and Shortening, and Access and Prevention. We focus on your program processes, and collected this information during the ESG application cycle for 2017/2018 ESG awards. Last year there was a survey asking these narrative questions. This year, there will not be a survey since we already have the information from the applications. We anticipate using examples of the answers from our Subrecipients in the CAPER. The questions we answer yearly are listed on the slide.



Narrative CAPER (con't)

- ❖ Shorten the period of time that individual and families experience homelessness, and prevent individuals and/or families who were recently homeless from becoming homeless again?
- ❖ Help individuals and families avoid becoming homeless who are being discharged from publicly-funded institutions and systems of care?
- ❖ Help low-income individual and families avoid becoming homeless who are receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs?

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As a reminder, many of the answers to the questions are in your written standards.



Emergency Transfer Plan Use

- ❖ 24 CFR §5.2005(e)(12) – Emergency Transfer Plans: “The covered housing provider must keep a record of all emergency transfers requested under its emergency transfer plan, and the outcomes of such requests, and retain these records for a period of three years, or for a period of time as specified in program regulations. Requests and outcomes of such requests must be reported to HUD annually.”
- ❖ Send to esg@tdhca.state.tx.us by **March 5, 2018:**
 - The number of requests for emergency transfers between 2/1/2017-1/31/2018
 - A few sentences of the outcomes of emergency transfer requests

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Last year the 24 CFR Part 5 required Emergency Transfer Plans to be implemented for housing service providers. The emergency transfer plan must allow a tenant to make an internal emergency transfer under the Violence Against Women Act when a safe unit is immediately available. The emergency transfer may include an internal emergency transfer, such as an emergency relocation of a tenant to another unit where the tenant would not be categorized as a new applicant, or external emergency transfer which refers to an emergency relocation of a tenant to another unit where the tenant would be a new applicant. Per statute, the housing provider, which is our ESG Subrecipients, must keep a record of the requests for an emergency transfer. We will need to report requests and outcomes to HUD. If you have had a request for an emergency transfer, please send the number of the requests for emergency transfers, and a few sentences on the outcomes of the emergency transfer to esg@tdhca.state.tx.us. This is for the time period between February 1, 2017 and January 31, 2018. We request this information by Monday, March 5, 2018.

(For reference: 24 CFR 5.2005(e) Emergency transfer plan. Each covered housing provider, as identified in the program-specific regulations for the covered housing program, shall adopt an emergency transfer plan, no later than June 14, 2017 based on HUD's model emergency transfer plan).



Section 3 Reporting

- ❖ Only needed for Subrecipients that conducted rehabilitation/conversion/renovation of an emergency shelter
 - Related to job training, employment, and contract opportunities for low or very-low income residents related to construction activities
 - Will be contacting Subrecipients directly for reporting
 - <http://www.tdhca.state.tx.us/program-services/hud-section-3/index.htm>

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Only the Subrecipients conducting rehabilitation, conversion or renovation of an emergency shelter will be asked about HUD's Section 3 reporting. Section 3 is related to job training, employment, and contract opportunities for low or very-low income residents related to the construction activities. TDHCA will be contacting you directly for details about Section 3 reporting if you conducted construction activities. If you know we are going to be contacting you, you may want to refresh yourself on Section 3 requirements at the link on the slide.



.CSV – ESG CAPER 2017 Basics

- ❖ .csv files are no longer uploaded to TDHCA; files are uploaded to Sage.
- ❖ Subrecipients will **not** register with Sage.
- ❖ Each project will have its own unique link
- ❖ Sage is equipped to accept .csv files from comparable databases.
- ❖ Make sure email can accept mail from sage@sagehmis.info


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Now Lindsay will update you on the differences for the HMIS export in .csv files. Many of you will remember the upload process from the last CAPER when we used eCART. Subrecipients can no longer use eCART. You will now upload your data directly to Sage.

Subrecipients will NOT register with Sage. All Subrecipients will receive a link from TDHCA for each separate project per agency. If your agency has a Street Outreach project and an Emergency Shelter project, there will be two. One email for the Street Outreach project and one email from the Emergency Shelter project. These emails will have a link specific to that project/agency. If you are the lead agency for a collaborative grant, please inform your sub-agencies they will be receiving an email with links to upload to Sage.

Sage is able to accept .csv files from comparable databases so DV providers and legal aid service providers are able to use Sage as well.

Please make sure to add sage@sagehmis.info to your list of verified email addresses.



.CSV File Dates

- ❖ **2016 ESG Subrecipients** (not funded in 2017)
 - Run reports for 2/1/17 – contract end date
- ❖ **2017 ESG Subrecipients** (not funded in 2016)
 - Run reports for 11/1/17 – 1/31/18
- ❖ **2016 and 2017 ESG Subrecipients**
 - Run reports for 2/1/17 – 1/31/18


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Gathering the reports might seem a bit daunting so let's review one more time.

If you received an ESG contract in 2016 AND 2017, please run reports starting on 2/1/17 through 1/31/18.

If your agency only received an ESG contract in 2017, please run reports for 11/1/17 – 1/31/18.

If your agency only received an ESG contract in 2016, please run reports for 2/1/17 – your contract end date. Most contracts ended on 8/31/17 but a handful of agencies received contract extensions. Please make sure you verify your 2016 contract end date.



CAPER Export – Accurate Data

- ❖ Complete and accurate HMIS data
- ❖ Contact HMIS lead agency to fix any mistakes ASAP


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There are several things Subrecipients can do in order to ensure the best data before uploading the .csv files to Sage.

Run reports now to make sure your project has complete and accurate HMIS data. If there are questions regarding this, please contact your HMIS lead as soon as possible.

Doing “real-time” data entry in HMIS can be a big help in cutting down on data entry mistakes and helping to answering questions that might otherwise be marked as “did not answer”

Please don’t hesitate to contact me with any questions.



CAPER Export – Things to Remember

- ❖ Due Monday, **March 5, 2018**
- ❖ .csv files **cannot** be combined
- ❖ .csv files only – **NO** Excel (.xls) files accepted
- ❖ Contact your HMIS leads for technical assistance

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Things to Remember

1. All files must be uploaded by March 5th, 2018. Please mark your calendars.
2. .csv CAPER files cannot be combined. There must be separate files for each project.
3. .csv files only. Excel files will not upload to Sage
4. Any HMIS technical questions should go directly to your HMIS lead agency
5. HUD has produced a webinar on Sage. Link in the next slide.



Review Sage webinar from HUD

- ❖ Sage Guidance for ESG Subrecipients Webinar:
 - <https://www.hudexchange.info/trainings/courses/sage-guidance-for-esg-subrecipients-webinar/2193/>

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When preparing to upload your .csv files to Sage, watch the webinar at the link on this slide first. It offers a step by step guide on the upload process, along with some checks. In order to correctly upload files to Sage, it is vital that you watch this webinar.



Annual Reporting Requirements for ESG Subrecipients

❖ By Monday, March 5:

1. Send number and outcomes of emergency transfer requests to esg@tdhca.state.tx.us
2. Send information on Section 3 reporting *if requested*
3. Upload .csv files to SAGE

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In conclusion, here are the annual reporting requirements for ESG Subrecipients. You are required to submit Emergency Transfer Plan reporting to the esg email address listed on the slide. This is only required to let us know the number of program participants that requested a transfer between February 1, 2017 to January 31, 2018, and a few sentences of the outcomes of the requests. You are required to submit Section 3 reporting as requested by TDHCA. You are required to upload .csv files to SAGE.

Questions?



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Contact Information

TEXAS DEPARTMENT OF HOUSING AND COMMUNITY AFFAIRS

221 E. 11th Street, Austin, TX 78701

P.O. Box 13941, Austin, TX 78711-3941

ESG: <http://www.tdhca.state.tx.us/home-division/esgp/>

Program Assistance: esg@tdhca.state.tx.us



#	Questions asked during the webinar	Texas Department of Housing and Community Affairs (TDHCA) Staff Answers
1	We are a DV Provider and we use Osnium for our HMIS data but we have not been able to enter HMIS data into Osnium because Osnium hasn't figured out the problem. This has been going on for 6 months and the problem still isn't fixed. We are manually having to collect the information for the CAPER. So will there be a report (excel) that can be used to put the information in and create the csv file? That is what we have done in the past. If so, will it let me upload the report into SAGE?	If there are victim service providers who are not able to produce a .csv file, please contact TDHCA at esg@tdhca.state.tx.us as soon as possible to request an exception template. The exception is only granted once and allows for manual data entry in an Excel file which will then be uploaded into Sage. In addition, you will be required to submit a plan to TDHCA explaining how you will ensure your comparable database will be able to generate the .csv by the next reporting period.
2	If we are the lead agency, will you send out the links to our collaboratives?	Yes.
3	Our HMIS lead says they can't fix mistakes so now what do we do as they are not involved with SAGE this year?	Homeless Management Information System (HMIS) lead agencies cannot fix errors in the files that are uploaded to Sage; your data is your data. Subrecipients should work with their HMIS lead agency to run a Universal Data Quality (UDQ) reports and to clean up data.
4	So the CAPER report is due 90 days from 1/31/18?	The CAPER is due to the US Department of Housing and Urban Development (HUD) from TDHCA 90 days after 1/31/2018. Information from ESG Subrecipients is due by March 5, 2018, in order for the CAPER to be drafted.